

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **REGULATION OF ENDOGENOUS GENE EXPRESSION IN CELLS USING ZINC FINGER PROTEINS** the specification of which is attached hereto or X was filed on January 12, 1999 as Application No. 09/229,037 and was amended on (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status

Full Name of Inventor 1:	Last Name: COX III	First Name: George	Middle Name or Initial: Norbert	
Residence & Citizenship:	City: Louisville	State/Foreign Country: Colorado	Country of Citizenship: USA	
Post Office Address:	Post Office Address: 678 West Willow Street	City: Louisville	State/Country: Colorado	Postal Code: 80027
Full Name of Inventor 2:	Last Name: CASE	First Name: Casey	Middle Name or Initial: Christopher	
Residence & Citizenship:	City: San Mateo	State/Foreign Country: California	Country of Citizenship: USA	
Post Office Address:	Post Office Address: 605 Barroilhet Avenue	City: San Mateo	State/Country: California	Postal Code: 94402
Full Name of Inventor 3:	Last Name: EISENBERG	First Name: Stephen	Middle Name or Initial: P.	
Residence & Citizenship:	City: Boulder	State/Foreign Country: Colorado	Country of Citizenship: USA	
Post Office Address:	Post Office Address: 5664 Pennsylvania Place	City: Boulder	State/Country: Colorado	Postal Code: 80303
Full Name of Inventor 4:	Last Name: JARVIS	First Name: Eric	Middle Name or Initial: Edward	
Residence & Citizenship:	City: Boulder	State/Foreign Country: Colorado	Country of Citizenship: USA	
Post Office Address:	Post Office Address: 3720 Smuggler Place	City: Boulder	State/Country: Colorado	Postal Code: 80303
Full Name of Inventor 5:	Last Name: SPRATT	First Name: Sharon	Middle Name or Initial: Kaye	
Residence & Citizenship:	City: Vacaville	State/Foreign Country: California	Country of Citizenship: USA	
Post Office Address:	Post Office Address: 107 Edmondale Court	City: Vacaville	State/Country: California	Postal Code: 95688

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1 <u>George Norbert Cox III</u> <i>George Norbert Cox III</i>	Signature of Inventor 2 <u>Casey Christopher Case</u> <i>Casey Christopher Case</i>	Signature of Inventor 3 <u>Stephen P. Eisenberg</u> <i>Stephen P. Eisenberg</i>
Date <u>March 24, 1999</u>	Date <u>3-8-99</u>	Date <u>3/24/99</u>
Signature of Inventor 4 <u>Eric Edward Jarvis</u> <i>Eric Edward Jarvis</i>	Signature of Inventor 5 <u>Sharon Kaye Spratt</u> <i>Sharon Kaye Spratt</i>	Signature of Inventor 6 _____
Date <u>3/23/99</u>	Date <u>3-8-99</u>	Date _____

POWER OF ATTORNEY BY ASSIGNEE

SANGAMO BIOSCIENCES, INC is the Assignee of the invention entitled: REGULATION OF GENE ENDOGENOUS GENE EXPRESSION IN CELLS USING ZINC FINGER PROTEINS, the specification of which _____ is attached hereto or X was filed on January 12, 1999 as Application Serial No. 09/229,037.

Assignee hereby appoints the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Sean Brennan, Reg. No. 39,917
Annette S. Parent, Reg. No. 42,058
Kenneth A. Weber, Reg. No. 31,677
Joe Liebeschuetz, Reg. No. 37,505
William M. Smith, Reg. No. 30,223
Eugenia Garrett-Wackowski, Reg. No. 37,330

Send Correspondence to:

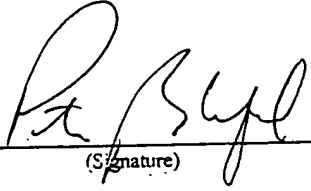
Annette S. Parent
TOWNSEND and TOWNSEND and CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, CA 94111-3834

Direct Telephone Calls to:
(Name, reg. no., tele. no.)

Annette S. Parent
Reg. No.: 42,058
(415) 576-0200

SANGAMO BIOSCIENCES, INC.

Date: 3-3-00

By: 
(Signature)

Name: Peter Bluford

Title: Vice President, Corporate Development

200970

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Applicant: COX, et al.

Application No.: 09/229,037

Filed: JANUARY 12, 1999

For: REGULATION OF ENDOGENOUS GENE EXPRESSION USING ZINC FINGER PROTEINS

SANGAMO BIOSCIENCES, INC., a corporation
(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is assignee of the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel __, Frame(s) __, or for which a copy thereof is attached.
OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel __, Frame __, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel __, Frame __, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel __, Frame __, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date : 3-3-00

Name : Peter Bluford

Title : Vice President, Corporate Development

Signature: Pt Bluf
200994

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c)) - SMALL BUSINESS CONCERN

Applicant or Patentee: Cox et al.
Application or Patent No.: 09/229,037
Filed or Issued: 1/12/99
Title: REGULATION OF ENDOGENOUS GENE EXPRESSION IN CELLS USING ZINC FINGER PROTEINS

I hereby declare that I am:

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern: Sangamo BioSciences, Inc.
Address of Small Business Concern: 501 Canal Blvd., Suite A100
Richmond, California 94804

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled **REGULATION OF ENDOGENOUS GENE EXPRESSION IN CELLS USING ZINC FINGER PROTEINS** by inventor(s) George Norbert Cox, III, Casey Christopher Case, Stephen P. Eisenberg, Eric Edward Jarvis, and Sharon Kaye Spratt described in:

- ☐ the specification filed herewith.
☒ Application No. 09/229,037, filed January 12, 1999.
☐ Patent No. _____, issued _____.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name _____
Address _____

- ☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Name _____
Address _____

- ☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Peter Bluford
Title of Person if Other than Owner: VP, Corp. Development
Address of Person Signing: Sangamo BioSciences, Inc.

Signature
201711

Peter Bluford

Date

3-5-99



01096-00220045
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

A S Parent

MARCH 03, 2000

PTAS

TOWNSEND AND TOWNSEND AND CREW LLP
ANNETTE S. PARENT
TWO EMBARCADERO CENTER, 8TH FLOOR
SAN FRANCISCO, CALIFORNIA 94111-3834



101259984A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 04/01/1999

REEL/FRAME: 010418/0960

NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

COX, GEORGE NORBERT III

DOC DATE: 03/24/1999

ASSIGNOR:

CASE, CASEY CHRISTOPHER

DOC DATE: 03/08/1999

ASSIGNOR:

EISENBERG, STEPHEN P.

DOC DATE: 03/24/1999

ASSIGNOR:

JARVIS, ERIC EDWARD

DOC DATE: 03/23/1999

ASSIGNOR:

SPRATT, SHARON KAYE

DOC DATE: 03/08/1999

ASSIGNEE:

SANGAMO BIOSCIENCES, INCORPORATED
501 CANAL BLVD., SUITE A100
RICHMOND, CALIFORNIA 94804

3c914 U.S. PTO
09/706243
11/03/00

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010418/0960 PAGE 2

SERIAL NUMBER: 09229037
PATENT NUMBER:

FILING DATE: 01/12/1999
ISSUE DATE:

ALLYSON PURNELL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

03-02-2000



Attorney Docket No. 019496-002200

101259984

Corrected Recordation Form Cover Sheet
(Patents Only)U.S. Department of Commerce
Patent and Trademark OfficeFORM PTO-1595
(Rev. 6-93)

To the Honorable Asst. Commissioner for Patents. Please record the attached original documents or copy thereof

1. Name of conveying party(ies):

George Norbert Cox III, Casey Christopher Case,
Stephen P. Eisenberg, Eric Edward Jarvis and
Sharon Kaye SprattAdditional name(s) of conveying parties attached? Yes
☒ No

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: 3/24/99, 3/8/99, 3/24/99, 3/23/99 and 3/8/99

2. Name and address of receiving party(ies)

Name: Sangamo BioSciences, Incorporated

Internal Address:

Street Address: 501 Canal Blvd., Suite A100

City: Richmond State: California ZIP: 94804

Additional names and addresses attached? ☐ Yes ☒ No

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No(s): 09/229,037

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No5. Name and address of party to whom correspondence
concerning document should be mailed:Name: Annette S. Parent
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved 1

7. Total fee (37 CFR 3.41): \$0.00

☐ Enclosed ☒ Charge Fees to Deposit Account☒ Charge any additional fees associated with this paper or during
the pendency of this application, or credit any overpayment, to
deposit account.

8. Deposit account number: 20-1430

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the
original document.Annette S. Parent
Name of Person Signing
Atty Reg. N . 42,058

Signature
3/29/99
Date

Total number of pages including cover sheet, attachments and document 4

10. Change Correspondence Address to that of Part 5? ☐ Yes ☒ No

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03/09/2000 TT011 00000051 201430 09229037

01 EC:581

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Asst. Commissioner for Patents
Box: Assignments
Washington, D.C. 20231

Attorney Docket No. 019496-002200

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, George Norbert Cox, III of 678 West Willow Street, Louisville, Colorado 80027, Casey Christopher Case of 605 Barrolihet Avenue, San Mateo, California 94402, Stephen P. Eisenberg of 5664 Pennsylvania Place, Boulder, Colorado 80303, Eric Edward Jarvis of 3720 Smuggler Place, Boulder, Colorado 80303 and Sharon Kaye Spratt of 107 Edmondale Court, Vacaville, California 95688, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below identified application for United States Letters Patent:

Title of the Invention: REGULATION OF ENDOGENOUS GENE EXPRESSION IN CELLS USING ZINC FINGER PROTEINS

Date(s) of execution of Declaration: 3/24/99, 3/8/99, 3/24/99, 3/23/99 and 3/8/99

Filing date: January 12, 1999 Application No.: 09/229,037 and

WHEREAS, Sangamo BioSciences, Inc. a Delaware corporation, located at 501 Canal Blvd., Suite A100, Richmond, California 94804, hereinafter referred to as "Assignee," is desirous of acquiring an interest in the invention and application and in any Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Date: March 24, 1999

George Norbert Cox III
George Norbert Cox III

SIGNATURE WITNESSED BY:

(1) Date: 3-24-99

David Ornelio Jimenez
Signature of Witness 1

(2) Date: 3/24/99

[Signature]
Signature of Witness 2

Date: 3-8-99

Casey Christopher Case
Casey Christopher Case

SIGNATURE WITNESSED BY:

(1) Date: 3-8-99

[Signature]
Signature of Witness 1

(2) Date: 3-8-99

[Signature]
Signature of Witness 2

Date: 3/24/99

Stephen P. Eisenberg
Stephen P. Eisenberg


SIGNATURE WITNESSED BY:

(1) Date: 3/24/99



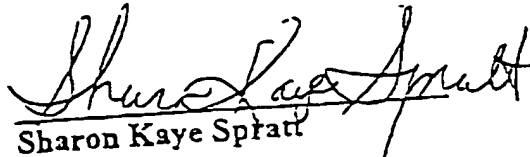
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Signature of Witness 1

(2) Date: 3/24/99

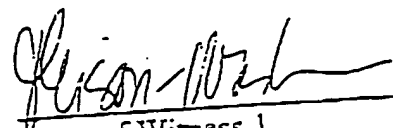
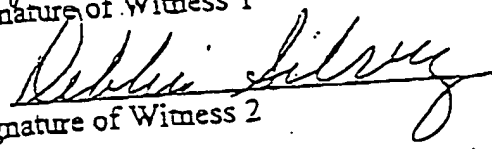
[Signature]
Signature of Witness 2

Date: 3/23/99
Eric Edward Jarvis

SIGNATURE WITNESSED BY:

(1) Date: 3/23/99
Signature of Witness 1(2) Date: 3/23/99
Signature of Witness 2Date: 3/8/99
Sharon Kaye Spratt

SIGNATURE WITNESSED BY:

(1) Date: 3/8/99
Signature of Witness 1(2) Date: 3/7/99
Signature of Witness 2